Title: Prepare Information

Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Process Number ______B.2__________

Process Definition *Provide an overview of the process and define its starting and ending points*

1.1 Starts With	Documented Inquiry/Request or Pre-scheduled Product
1.2 Process Overview	Upon receipt of a documented inquiry/request, information is prepared to respond to the requestor. Sub processes include: • B.2.1 - Update Beneficiary's Personal Data • B.2.2 - Perform Research and Analysis of the Integrated Data • B.2.3 – Contact Appropriate Office • B.2.4 – Transfer Inquiry / Request to Appropriate Office The majority of inquiries / requests are expected to be satisfied by querying the trust integrated data. If a general query of the trust integrated data cannot satisfy the request, assistance is obtained by contacting an appropriate office. If the request is overly complex or requires an update to the trust integrated data, it is transferred to an appropriate office. In addition to responding to requestors, the process utilizes workflow tools to produce pre-scheduled products that are generated by the system i.e., account statements.
1.3 Stops With	Prepared information

2. Trust Business Objectives *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

Goal/Objective
Routinely provide timely, accurate, understandable, and comprehensive statements to beneficiaries.
Provide beneficiaries with convenient access to trust account services and information.
Develop an accessible point of contact who can provide any individual Indian or tribal representative with any requested trust asset information or service regardless of ownership region or area.
Foster expansion of self-governance compacts and self-determination contracts in a manner consistent with DOI's fiduciary responsibilities.

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3. How should Beneficiaries be involved in this process?

Beneficiary Involvement
• Beneficiary makes either a telephone call or walks into the Integrated Servicing Office to request a change to his / her personal information. A beneficiary may have 3rd party representation to make the contact on his / her behalf. • The beneficiary may be contacted to further understand the inquiry / request and to refine the query accordingly. • The technical expert may need to communicate with the beneficiary to clarify the beneficiary's needs. • The appropriate office may need to contact the beneficiary to receive additional clarification on the inquiry / request. There may be instances when the beneficiary contacts Integrated Servicing Office to provide notice on changes to asset and land use status.

4. Organizations, Offices and Roles. *Identify the DOI organizations and related roles that should be involved in performing the process.*

4.1 DOI Organizations. *Identify the DOI organizations, offices and individual roles that contribute to this process.*
DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.
Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.
All individual roles that contribute, in a significant manner, should be identified.

Organization	Office	Role	Contribution
BIA	Agency (Integrated Servicing Office)		Primary contact for beneficiaries
OST	Agency (Integrated Servicing Office)		Primary contact for beneficiaries
BLM	Field Office		Perform necessary beneficiary contact and query to the trust integrated data when the BLM officer acts as the "single point" of contact for a beneficiary's inquiry / request.
MMS	ICAM Financial Management		Perform necessary beneficiary contact and query to the trust integrated data when the MMS officer acts as the "single point" of contact for a beneficiary's inquiry / request.

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Organization	Office	Role	Contribution
OHA	Regional Office		Perform necessary beneficiary contact and query to the trust integrated data when the OHA officer acts as the "single point" of contact for a beneficiary's inquiry / request.
OSM	Field Office Regional Office		Perform necessary beneficiary contact and query to the trust integrated data when the OSM officer acts as the "single point" of contact for a beneficiary's inquiry / request.
Compacted / Contracted Tribes	Tribal / Consortium Office		Serve as a single point of contact for beneficiaries and depends upon the degree of self-determination.

4.2 External Organizations. *Identify the non-DOI organizations that support the execution of or contribute to this process.*

External Organization	Contribution
Federal Government Agencies	Federal government agencies may need to be contacted to provide information concerning the inquiry / request.
Tribal Governments	Tribal governments may need to be contacted to provide information concerning the inquiry / request.
State Government Agencies	State government agencies may need to be contacted to provide information concerning the inquiry / request.
Local Government Agencies	Local government agencies may need to be contacted to provide information concerning the inquiry / request.
Profit and non-profit organizations	Profit and non-profit organizations may need to be contacted to provide information concerning the inquiry / request.

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5. Event(s) *Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

Event	Description	Estimated Frequency
Beneficiary telephone call to Call Center or Integrated Servicing Office.	Telephone calls may either be made directly to an Integrated Servicing Office or the telephone call may be redirected from a call center to an Integrated Servicing Office.	
Beneficiary walk-in to Integrated Servicing Office.	Beneficiary may walk-in to an Integrated Servicing Office.	
Beneficiary contact via Internet	As the Internet capability develops, a beneficiary may submit a request to change his / her personal information.	
3rd Party Representation	A 3rd party representation may request a change to a beneficiary's personal information.	
Receipt of documented inquiry / request	The inquiry / request owner performs the research and analysis to satisfy the inquiry / request.	
Inquiry / request that could not be satisfied by querying the trust integrated data	Technical expertise is required from an appropriate office to satisfy the inquiry / request.	
Complex request requiring extensive action	Complex request requiring extensive action is transferred to the appropriate DOI office for action. Sometimes, external organizations are requested to provide information to satisfy the request.	
Beneficiary notification in changes to asset and land use status	Changes to a beneficiary's asset and land use status are transferred to the appropriate DOI office to make the trust integrated data updates.	

6. Inputs and Outputs. *Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*

6.1 Inputs

Input	Description

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Input	Description
Beneficiary's personal information to be updated	The beneficiary's personal information to be updated is provided either by the beneficiary or a 3rd party. An automated address change form may be used to provide the information.
Data from the trust integrated data	The data from the trust integrated data is analyzed and findings produced.
Findings from the initial analysis	The findings from the initial analysis indicated that additional information is needed to satisfy the inquiry / request. Contact with a technical expert located in another office may provide the additional information needed to satisfy the inquiry / request.
Unfulfilled request	The Integrated Servicing Office is unable to fulfill the request so it is transferred to an appropriate office for action.

6.2 Outputs

Output	Description
Beneficiary's personal information updated	The beneficiary's personal information is updated in the trust integrated data.
Confirmation Notice	A confirmation notice is provided to the beneficiary and / or 3rd party representation.
Prepared response	The findings are prepared in a response format based upon the requestor's needs.
Prepared response with appropriate communication medium	The response is prepared when the technical expert provides appropriate additional information.
Transfer to another office	The inquiry / request is transferred to another office when the Integrated Servicing Office cannot satisfy the inquiry / request. The tracking system is annotated to identify to whom the inquiry / request is transferred. However, transfer to another office does not stop the Integrated Servicing Office from their responsibility.
Prepared response	The appropriate office provides the prepared response to the requestor. The response flows through the Communicate Information process (B.3). The Integrated Servicing Office is automatically notified that the request has been fulfilled.

7. Fiduciary and Legal Obligations and Controls

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7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
Secretary's Trust Principles		Provides guidance on responsibility for the management of the Indian trust assets, information and records.
5 USC 552 (Privacy Act / Freedom of Information Act)		Provides protection of the beneficiary's identification and confidential personal information.
25 CFR 115 (Trust Funds for Tribes and Individual Indians Regulations)		Provides regulations governing beneficiary trust accounts.
25 CFR 179 (Life Estates and Future Interests Regulations)		Helps define guidelines for estate planning.
25 CFR 1200 (American Indian Trust Fund Management Reform Act)		Establishes oversight on DOI Trust reform efforts and allows the Secretary to discharge trust responsibilities.
25 USC 4001		Provides authority for 25 CFR 1200.

7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

Control	Reason	Description
BIA / OST Interagency Procedures Handbook	Ensures consistency in issuing beneficiary account statements	Contains standard administrative operating procedures for issuing statements of performance to tribal and IIM account holders.
Tribal Internal Control Mechanisms	Supports self-governance and ensures tribal compliance with fiduciary and legal responsibilities.	Establishes tribal standard administrative operating procedures.
Service Delivery Standards	Ensures consistency and timeliness for the delivery of trust services.	Contains performance measurement standards for the delivery of trust services.

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Control	Reason	Description
MOA / MOU Operational Procedures	Ensures consistency and accountability for transferring an inquiry / request to another office.	Establishes the procedures used to transfer an inquiry / request to another office.

8. Mechanisms (Systems of Record) *Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.*

System Name	Support
Trust Integrated Data	• The trust integrated data stores the updated beneficiary's personal information. • The trust integrated data is used in performing the query. • The technical expert may need to access the trust integrated data to understand the issue.
Tracking System	• The tracking data is updated to reflect the completion of updating the beneficiary's personal information. • The tracking data is updated to annotate the completion of the preparation of the response. • Tracking data is annotated to indicate either that the response has been prepared or that the inquiry / request is transferred to another office. • The tracking data is annotated to show to which office the request was transferred and who, in the appropriate office, owns the request.

9. Inter-Process Relationships *Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.*

9.1 Predecessors. *Predecessors are processes that either produce information required by this process or that result in the need to execute this process.*

Process No.	Name	Condition of Relationship
B.1.2	Document Contact	The request to update a beneficiary's personal data is documented in the tracking system. The inquiry / request is documented prior to performing research and analysis of the trust integrated data.

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Process No.	Name	Condition of Relationship
B.2.2	Perform Research & Analysis of Integrated Data	Contact to an appropriate office is made when the inquiry / request cannot be satisfied by researching and analyzing the trust integrated data. The request is transferred to an appropriate office when it cannot be satisfied by neither researching and analyzing the trust integrated data nor contacting another office.
B.2.3	Contact Appropriate Office	The request is transferred to an appropriate office when it cannot be satisfied by neither researching and analyzing the trust integrated data nor contacting another office.
FO.5	Reporting & Statements	Financial Operations prepare the information in the Trust Integrated Data so the financial statements may be produced and distributed.

9.2 Successors. *Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.*

Process No.	Name	Condition of Relationship
B.3	Communicate Information	The beneficiary is notified that his / her personal data has been updated. The response to the inquiry / request is communicated to the requestor.
FO.4	Omnibus Reconciliation	Transfer request to produce special financial reports.
O.2.1	Assess Customer Needs	Transfer request to conduct survey or for survey specific information.
O.3.1	Prepare Probate Case	Transfer request to conduct a probate. Notification is provided to probate that a beneficiary's personal data has been updated, if applicable. Notification is made by the automated system.
P.1.1	Determine Appropriate Valuation Method	Transfer request to perform valuation.
P.1.3	Review Valuation	Transfer request to perform valuation review.

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Process No.	**Name**	**Condition of Relationship**
P.3.1	Coordinate & Deliver Planning Assistance	Transfer request from tribe to provide assistance with land use planning.
P.3.2	Approve the Plan	Transfer request for review of a completed land use plan.
P.4	Evaluate existing L&NR Plan	Transfer request to perform valuation of existing plan.
UM.3.1	Define Support Activity Criteria	Transfer request for land use technical assistance or support.
UM.4.1	Monitor Management Unit	Transfer request to investigate a complaint, such as a trespass on trust lands.
UM.4.2	Document Owner or Special Use	Transfer notification of owner's use. Update land use records.

10. Comments *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

Category	**Comment**
Note	Standard communications, such as newsletters, progress reports, listing of asset holdings, and "what is changing" statements, etc. need to be prepared and pre-scheduled to improve communications with the beneficiaries.
Note	The service delivery standards need to be established, understood and communicated after the functional requirements of the trust integrated data and associated systems are defined.